

L Number	Hits	Search Text	DB	Time stamp
1	5	affinity SAME portfolio\$1	USPAT; US-PGPUB; EPO; JPO; DERWENT; IBM_TDB USPAT	2003/10/29 19:38
2	67	("4346442"   "4376978"   "4566066"   "4597046"   "4642768"   "4648038"   "4674044"   "4750121"   "4751640"   "4774663"   "4910676"   "4933842"   "4953085"   "4980826"   "4989141"   "4994964"   "5038284"   "5101353"   "5126936"   "5132899"   "5148365"   "5193056"   "5202827"   "5210687"   "5214579"   "5220500"   "5227967"   "5262942"   "5270922"   "5297032"   "5375055"   "5497317"   "5517406"   "5649116"   "5664115"   "5671363"   "5689650"   "5689652"   "5704045"   "5710889"   "5724524"   "5729700"   "5745706"   "5749077"   "5758097"   "5761441"   "5761442"   "5765141"   "5774881"   "5784696"   "5794219"   "5799287"   "5806047"   "5806049"   "5812987"   "5819237"   "5873071"   "5918217"   "5918218"   "5930774"   "5946666"   "5978778"   "5999918"   "6018722"   "6021397"   "6035287"   "6044352").PN.	USPAT	2003/10/29 19:34
3	140	affinity NEAR3 invest\$6	USPAT; US-PGPUB; EPO; JPO; DERWENT; IBM_TDB USPAT	2003/10/29 19:39
4	5	(affinity NEAR3 invest\$6) AND (vote\$1 or voting or portfolio\$1)	USPAT; US-PGPUB; EPO; JPO; DERWENT; IBM_TDB USPAT	2003/10/29 19:43
5	1	("6064971").PN.	USPAT	2003/10/29 19:43

East

L Number	Hits	Search Text	DB	Time stamp
1	5	affinity SAME (vote or voting or votes)	USPAT; US-PGPUB; EPO; JPO; DERWENT; IBM_TDB	2003/10/29 14:30
2	10	delegat\$3 NEAR5 (vote or voting or votes)	USPAT; US-PGPUB; EPO; JPO; DERWENT; IBM_TDB	2003/10/29 15:00
3	15	wallman-s\$.in.	USPAT; US-PGPUB; EPO; JPO; DERWENT; IBM_TDB	2003/10/29 15:00
4	2	wallman-s\$.in. AND delegat\$5	USPAT; US-PGPUB; EPO; JPO; DERWENT; IBM_TDB	2003/10/29 15:00

Jul

Dialog  
10/29/03

Your SELECT statement is:

s (Foliofn or Folio()fn) and (Folio()Invest?) and py<=1999

Items	File
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Examined 50 files	
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Examined 100 files	
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Processing

Examined 350 files	
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Examined 400 files	
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Examined 450 files	
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Examined 500 files	
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Examined 550 files	
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No files have one or more items; file list includes 551 files.  
One or more terms were invalid in 110 files.

5/10

Your SELECT statement is:  
s (Foliofn or Folio()fn) and py<=1999

Items	File
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2	16: Gale Group PROMT(R)_1990-2003/Oct 28
Examined 50 files	
Examined 100 files	
2	148: Gale Group Trade & Industry DB_1976-2003/Oct 29
Examined 150 files	
Examined 200 files	
1	345: Inpadoc/Fam.& Legal Stat_1968-2003/UD=200342
1	348: EUROPEAN PATENTS_1978-2003/Oct W03
Examined 250 files	
Examined 300 files	
Examined 350 files	
2	610: Business Wire_1999-2003/Oct 29
Examined 400 files	
2	621: Gale Group New Prod.Annou.(R)_1985-2003/Oct 29
2	649: Gale Group Newswire ASAP(TM)_2003/Oct 24
Examined 450 files	
Examined 500 files	
Examined 550 files	

7 files have one or more items; file list includes 551 files.  
One or more terms were invalid in 102 files.

Your SELECT statement is:

s (psinet or psi()net) and portfolio? and wallman

Items	File
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1	9: Business & Industry(R)_Jul/1994-2003/Oct 28
2	15: ABI/Inform(R)_1971-2003/Oct 29
18	16: Gale Group PROMT(R)_1990-2003/Oct 28
15	20: Dialog Global Reporter_1997-2003/Oct 29
1	47: Gale Group Magazine DB(TM)_1959-2003/Oct 28
1	75: TGG Management Contents(R)_86-2003/Oct W2
Examined 50	files
1	88: Gale Group Business A.R.T.S._1976-2003/Oct 27
Examined 100	files
14	148: Gale Group Trade & Industry DB_1976-2003/Oct 29
Examined 150	files
Processing	
Examined 200	files
Examined 250	files
Examined 300	files
1	483: Newspaper Abs Daily_1986-2003/Oct 29
2	484: Periodical Abs Plustext_1986-2003/Oct W3
1	485: Accounting & Tax DB_1971-2003/Oct W3
Processing	
Examined 350	files
1	553: Wilson Bus. Abs. FullText_1982-2003/Sep
1	609: Bridge World Markets_2000-2001/Oct 01
8	610: Business Wire_1999-2003/Oct 29
6	613: PR Newswire_1999-2003/Oct 29
Examined 400	files
12	621: Gale Group New Prod.Annou.(R)_1985-2003/Oct 29
1	623: Business Week_1985-2003/Oct 29
1	624: McGraw-Hill Publications_1985-2003/Oct 29
3	635: Business Dateline(R)_1985-2003/Oct 29
12	649: Gale Group Newswire ASAP(TM)_2003/Oct 24
Examined 450	files
Examined 500	files
3	993: NewsRoom 2002/
5	994: NewsRoom 2001
Examined 550	files
12	995: NewsRoom 2000

23 files have one or more items; file list includes 551 files.

Set	Items	Description
S1	122	(PSINET OR PSI())NET) AND PORTFOLIO? AND WALLMAN
S2	37	RD (unique items)
S3	0	S2 AND PY<=1999
File	9:Business & Industry(R)	Jul/1994-2003/Oct 28 (c) 2003 Resp. DB Svcs.
File	15:ABI/Inform(R)	1971-2003/Oct 29 (c) 2003 ProQuest Info&Learning
File	16:Gale Group PROMT(R)	1990-2003/Oct 28 (c) 2003 The Gale Group
File	20:Dialog Global Reporter	1997-2003/Oct 29 (c) 2003 The Dialog Corp.
File	47:Gale Group Magazine DB(TM)	1959-2003/Oct 28 (c) 2003 The Gale group
File	75:TGG Management Contents(R)	86-2003/Oct W2 (c) 2003 The Gale Group
File	88:Gale Group Business A.R.T.S.	1976-2003/Oct 27 (c) 2003 The Gale Group
File	148:Gale Group Trade & Industry DB	1976-2003/Oct 29 (c)2003 The Gale Group
File	483:Newspaper Abs Daily	1986-2003/Oct 29 (c) 2003 ProQuest Info&Learning
File	484:Periodical Abs Plustext	1986-2003/Oct W3 (c) 2003 ProQuest
File	485:Accounting & Tax DB	1971-2003/Oct W3 (c) 2003 ProQuest Info&Learning
File	553:Wilson Bus. Abs. FullText	1982-2003/Sep (c) 2003 The HW Wilson Co
File	609:Bridge World Markets	2000-2001/Oct 01 (c) 2001 Bridge
File	610:Business Wire	1999-2003/Oct 29 (c) 2003 Business Wire.
File	613:PR Newswire	1999-2003/Oct 29 (c) 2003 PR Newswire Association Inc
File	621:Gale Group New Prod.Annou.(R)	1985-2003/Oct 29 (c) 2003 The Gale Group
File	623:Business Week	1985-2003/Oct 29 (c) 2003 The McGraw-Hill Companies Inc
File	624:McGraw-Hill Publications	1985-2003/Oct 29 (c) 2003 McGraw-Hill Co. Inc
File	635:Business Dateline(R)	1985-2003/Oct 29 (c) 2003 ProQuest Info&Learning
File	649:Gale Group Newswire ASAP(TM)	2003/Oct 24 (c) 2003 The Gale Group
File	993:NewsRoom	2002/ (c) 2003 The Dialog Corporation
File	994:NewsRoom	2001 (c) 2003 The Dialog Corporation
File	995:NewsRoom	2000 (c) 2003 The Dialog Corporation

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Your SELECT statement is:

s (foliotrade or foliofn or folio()trade or folio()fn or  
steven(2n)wallman) and (vote? or voting) and py<=1999

Items	File
2	9: Business & Industry(R)_Jul/1994-2003/Oct 28
2	13: BAMP_2003/Oct W3
16	15: ABI/Inform(R)_1971-2003/Oct 29
9	16: Gale Group PROMT(R)_1990-2003/Oct 28
1	47: Gale Group Magazine DB(TM)_1959-2003/Oct 28
5	75: TGG Management Contents(R)_86-2003/Oct W2
Examined 50	files
6	88: Gale Group Business A.R.T.S._1976-2003/Oct 27
2	141: Readers Guide_1983-2003/Sep
Examined 100	files
1	147: The Kansas City Star_1995-2003/Sep 26
24	148: Gale Group Trade & Industry DB_1976-2003/Oct 29
11	180: Federal Register_1985-2003/Oct 28
Examined 150	files
4	267: Finance & Banking Newsletters_2003/Oct 28
Examined 200	files
1	349: PCT FULLTEXT_1979-2002/UB=20031023,UT=20031016
3	387: The Denver Post_1994-2003/Oct 29
1	397: Las Vegas Review-Journal_1997-2003/Oct 29
Examined 250	files
1	476: Financial Times Fulltext_1982-2003/Oct 30
Examined 300	files
6	484: Periodical Abs Plustext_1986-2003/Oct W3
6	485: Accounting & Tax DB_1971-2003/Oct W3
1	486: Press-Telegram_1992- 2003/Oct 28
2	492: Arizona Repub/Phoenix Gaz_19862002/Jan 06
2	494: St LouisPost-Dispatch_1988-2003/Oct 29
Examined 350	files
11	553: Wilson Bus. Abs. FullText_1982-2003/Sep
4	608: KR/T Bus.News._1992-2003/Oct 29
Examined 400	files
2	623: Business Week_1985-2003/Oct 29
6	624: McGraw-Hill Publications_1985-2003/Oct 29
3	625: American Banker Publications_1981-2003/Oct 29
11	626: Bond Buyer Full Text_1981-2003/Oct 29
1	631: Boston Globe_1980-2003/Oct 28
1	633: Phil.Inquirer_1983-2003/Oct 27
1	634: San Jose Mercury_ Jun 1985-2003/Oct 28
3	635: Business Dateline(R)_1985-2003/Oct 29
10	636: Gale Group Newsletter DB(TM)_1987-2003/Oct 28
4	638: Newsday/New York Newsday_1987-2003/Oct 28
1	640: San Francisco Chronicle_1988-2003/Oct 29
1	641: Rocky Mountain News_Jun 1989-2003/Oct 24
1	642: The Charlotte Observer_1988-2003/Oct 26
3	645: Contra Costa Papers_1995- 2003/Oct 28
15	660: Federal News Service_1991-2002/Jul 02
Examined 450	files
1	696: DIALOG Telecom. Newsletters_1995-2003/Oct 27
3	701: St Paul Pioneer Pr Apr_1988-2003/Oct 24
1	702: Miami Herald_1983-2003/Oct 24
1	704: (Portland)The Oregonian_1989-2003/Oct 28
1	706: (New Orleans)Times Picayune_1989-2003/Oct 29
2	708: Akron Beacon Journal_1989-2003/Oct 26
1	712: Palm Beach Post_1989-2003/Oct 27
1	713: Atlanta J/Const._1989-2003/Oct 26
2	714: (Baltimore) The Sun_1990-2003/Oct 29
1	718: Pittsburgh Post-Gazette_Jun 1990-2003/Oct 29

1 719: (Albany) The Times Union\_Mar 1986-2003/Oct 23  
1 721: Lexington Hrlld.-Ldr.\_1990-2003/Oct 26  
1 732: San Francisco Exam.\_1990- 2000/Nov 21  
1 735: St. Petersburg Times\_1989- 2003/Oct 28  
1 738: (Allentown) The Morning Call\_1990-2003/Oct 28  
2 739: The Fresno Bee\_1990-2003/Oct 27  
1 740: (Memphis)Comm.Appeal\_1990-2003/Oct 28  
1 742: (Madison)Cap.Tim/Wi.St.J\_1990-2003/Oct 28  
1 743: (New Jersey)The Record\_1989-2003/Oct 28  
Examined 500 files  
3 781: ProQuest Newsstand\_1998-2003/Oct 29  
Examined 550 files

58 files have one or more items; file list includes 551 files.  
One or more terms were invalid in 103 files.



Dialog  
10/29/03

Your SELECT statement is:

s (delegat?(3n) (vote? or voting)) and py<=1999 and affinity

Items	File
3	15: ABI/Inform(R)_1971-2003/Oct 29
1	16: Gale Group PROMT(R)_1990-2003/Oct 28
3	20: Dialog Global Reporter_1997-2003/Oct 29
2	47: Gale Group Magazine DB(TM)_1959-2003/Oct 28
Examined 50 files	
11	88: Gale Group Business A.R.T.S._1976-2003/Oct 27
1	141: Readers Guide_1983-2003/Sep
Examined 100 files	
3	148: Gale Group Trade & Industry DB_1976-2003/Oct 29
1	149: TGG Health&Wellness DB(SM)_1976-2003/Oct W1
Examined 150 files	
1	262: CBCA Fulltext_1982-2003/Nov
Examined 200 files	
1	349: PCT FULLTEXT_1979-2002/UB=20031023,UT=20031016
Examined 250 files	
2	436: Humanities Abs Full Text_1984-2003/Sep
2	476: Financial Times Fulltext_1982-2003/Oct 30
Examined 300 files	
6	484: Periodical Abs Plustext_1986-2003/Oct W3
Examined 350 files	
Examined 400 files	
1	619: Asia Intelligence Wire_1995-2003/Oct 29
1	621: Gale Group New Prod.Annou.(R)_1985-2003/Oct 29
1	627: EIU: Country Analysis_2003/Oct W3
4	631: Boston Globe_1980-2003/Oct 28
1	636: Gale Group Newsletter DB(TM)_1987-2003/Oct 28
1	642: The Charlotte Observer_1988-2003/Oct 26
1	649: Gale Group Newswire ASAP(TM)_2003/Oct 24
1	660: Federal News Service_1991-2002/Jul 02
Examined 450 files	
2	702: Miami Herald_1983-2003/Oct 24
3	706: (New Orleans)Times Picayune_1989-2003/Oct 29
1	709: Richmond Times-Disp._1989-2003/Oct 24
1	711: Independent(London)_Sep 1988-2003/Oct 29
2	717: The Washington Times_Jun 1989-2003/Oct 29
10	727: Canadian Newspapers_1990-2003/Oct 29
1	735: St. Petersburg Times_1989- 2003/Oct 28
1	742: (Madison)Cap.Tim/Wi.St.J_1990-2003/Oct 28
Examined 500 files	
1	750: Emerging Mkts & Middle East News_1995-2003/Oct 29
1	781: ProQuest Newsstand_1998-2003/Oct 29
1	813: PR Newswire_1987-1999/Apr 30
Examined 550 files	

32 files have one or more items; file list includes 551 files.  
One or more terms were invalid in 103 files.

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Set	Items	Description
S1	72	(DELEGAT?(3N) (VOTE? OR VOTING)) AND PY<=1999 AND AFFINITY
S2	54	RD (unique items) <i>-kmt</i>
File	15:ABI/Inform(R)	1971-2003/Oct 29 (c) 2003 ProQuest Info&Learning
File	16:Gale Group PROMT(R)	1990-2003/Oct 28 (c) 2003 The Gale Group
File	20:Dialog Global Reporter	1997-2003/Oct 29 (c) 2003 The Dialog Corp.
File	47:Gale Group Magazine DB(TM)	1959-2003/Oct 28 (c) 2003 The Gale group
File	88:Gale Group Business A.R.T.S.	1976-2003/Oct 27 (c) 2003 The Gale Group
File	141:Readers Guide	1983-2003/Sep (c) 2003 The HW Wilson Co
File	148:Gale Group Trade & Industry DB	1976-2003/Oct 29 (c)2003 The Gale Group
File	149:TGG Health&Wellness DB(SM)	1976-2003/Oct W1 (c) 2003 The Gale Group
File	262:CBCA Fulltext	1982-2003/Nov (c) 2003 Micromedia Ltd.
File	349:PCT FULLTEXT	1979-2002/UB=20031023,UT=20031016 (c) 2003 WIPO/Univentio
File	436:Humanities Abs Full Text	1984-2003/Sep (c) 2003 The HW Wilson Co
File	476:Financial Times Fulltext	1982-2003/Oct 30 (c) 2003 Financial Times Ltd
File	484:Periodical Abs Plustext	1986-2003/Oct W3 (c) 2003 ProQuest
File	619:Asia Intelligence Wire	1995-2003/Oct 29 (c) 2003 Fin. Times Ltd
File	621:Gale Group New Prod. Annou. (R)	1985-2003/Oct 29 (c) 2003 The Gale Group
File	627:EIU: Country Analysis	2003/Oct W3 (c) 2003 Economist Intelligence Unit
File	631:Boston Globe	1980-2003/Oct 28 (c) 2003 Boston Globe
File	636:Gale Group Newsletter DB(TM)	1987-2003/Oct 28 (c) 2003 The Gale Group
File	642:The Charlotte Observer	1988-2003/Oct 26 (c) 2003 Charlotte Observer
File	649:Gale Group Newswire ASAP(TM)	2003/Oct 24 (c) 2003 The Gale Group
File	660:Federal News Service	1991-2002/Jul 02 (c) 2002 Federal News Service
File	702:Miami Herald	1983-2003/Oct 24 (c) 2003 The Miami Herald Publishing Co.
File	706:(New Orleans)Times Picayune	1989-2003/Oct 29 (c) 2003 Times Picayune
File	709:Richmond Times-Disp.	1989-2003/Oct 24 (c) 2003 Richmond Newspapers Inc
File	711:Independent (London)	Sep 1988-2003/Oct 29 (c) 2003 Newspaper Publ. PLC
File	717:The Washington Times	Jun 1989-2003/Oct 29 (c) 2003 Washington Times
File	727:Canadian Newspapers	1990-2003/Oct 29 (c) 2003 Southam Inc.
File	735:St. Petersburg Times	1989- 2003/Oct 28 (c) 2003 St. Petersburg Times
File	742:(Madison)Cap.Tim/Wi.St.J	1990-2003/Oct 28 (c) 2003 Wisconsin St. Jrnl
File	750:Emerging Mkts & Middle East News	1995-2003/Oct 29 (c) 2003Dialog Corp.
File	781:ProQuest Newsstand	1998-2003/Oct 29

(c) 2003 ProQuest Info&Learning  
File 813:PR Newswire 1987-1999/Apr 30  
(c) 1999 PR Newswire Association Inc

00021539/9

DIALOG(R)File 267:Finance & Banking Newsletters  
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00021539

**Time to vote your shares? ring up**

Matthew Greco

Mergers & Restructuring

March 10, 1997

DOCUMENT TYPE: NEWSLETTER

PUBLISHER: SECURITIES DATA PUBLISHING

LANGUAGE: ENGLISH

WORD COUNT: 903

RECORD TYPE: FULLTEXT

**TEXT:**

Internet proxy voting for this annual meeting season has been waylaid by controversy over proxy voting fees. But a dramatically expanded telephone voting option will be in place for the first time for many large companies and their shareholders, individuals included.

The telephone voting option, which initial testing shows will have great popularity, is one of three electronic voting venues that Automatic Data Processing's Investor Communication Services (ICS) has at various levels of development.

Indeed, in a surprising figure, almost half-48.5% to be exact-of all shares voted in 1996 were voted electronically, according to Robert Niebanck, chief technology officer for ICS.

That number should expand significantly this proxy season with a much wider availability of telephone voting, Niebanck said.

Internet voting probably would have been available this proxy season but for controversy over the new proposed proxy voting fee structure. At deadline, ICS was still waiting on a much delayed ruling by the Securities and Exchange Commission on the proposed fee structure it receives for its virtual monopoly on proxy handling work.

Until those fees are approved, ICS has made a business decision to not roll out the Internet option, Mary Ann Butera, ICS VP of sales said. And, even if the SEC does approve the fees, it will be too late for this proxy season. However, if approved, Internet proxy voting might be available for the "mini" proxy voting season that comes in late October and November for those companies with June 30 fiscal year-ends, Butera said.

**SEC Offers Encouragement**

ICS's fee for Internet voting would come out of one of the more controversial parts of the proposed fee schedule, the new \$20 "nominee" fee. Other than the fee structure, however, the SEC has reviewed the Internet pilot and is encouraging ICS to proceed with it.

Butera said some companies may be doing some Internet voting for their registered holders with the assistance of their transfer agents.

The foundation of ICS's electronic voting technologies remains ProxyEdge, which has been available since 1992, and which has gone through a variety of enhancements. In 1996 it was used by some 180 institutions (which accounted for most of the vote submitted electronically last proxy season), including Institutional Shareholder Services, which recommends to money managers how to vote their proxies and which itself does the voting for another 50 institutions.

ProxyEdge simplifies life for companies, and improves response rates to proxy proposals, said Butera, adding that another 20 money managers will likely use ProxyEdge this year. ProxyEdge also reduces the mail time for the return, Niebanck said, making it easier for institutions, which sometimes go through a fairly laborious proxy voting review process, to respond.

Telephone voting was put in place in 1994, but to date has been rolled out on only a limited basis. Last year, while only available to some institutions that didn't have ProxyEdge, there were still 5.3 billion shares voted this way, or 6% of the total vote returned to ICS.

Telephone voting was originally intended to be open to everyone, individual shareholders included, and it looks like it will now start to fulfill that promise.

This year it will be made available to some 60 institutions, all of whom had more than 100,000 shareholders who were served last year by ICS. (Some companies mail to their own registered holders, while ICS handles only Street name accounts.) It will also be made available to other companies

that ask for it, Niebanck said.

Shareholders will see a telephone number for the service printed on their proxy forms, Butera noted. It's already had one successful roll out for a company with a non-traditional fiscal year: The Walt Disney Company. Some 16% of Disney's registered holders voted by telephone, Butera said, which was right on line with projections. (The service was not available to Street name accounts, because the systems weren't in place).

#### Usage Should Triple this Year

ICS expects to see, on average, 15% of voters use the option when it is offered-tripling the use the technology saw last year. "Ultimately, we expect everyone to have the ability to use it," Butera said.

Butera noted that ICS takes a conservative approach to offering the telephone service-so far limiting it to the eight or nine states that specifically endorse the use of telephone voting. The same rules don't apply to Street name voting because technically Street name holders are not mailed proxies but proxy voting instruction forms, which tell the broker how to vote the proxy, Butera said. And brokers aren't regulated by state law, but under the SEC, which has already approved telephone voting.

With telephone voting, holders can go back and change your vote as many times as you want-up to midnight of the night before the vote, although ICS doesn't want to promote that fact. The intent is not to encourage people to vote later, but rather to make it convenient, Neibanck quickly points out.

Telephone voting should be a big hit with corporations. As Neibanck points out, it could save them substantial costs. Under the new fee proposals, issuers are only charged for the cost of the 800 number call, which is roughly 18 cents.

Conceptually, Internet voting is not so different than telephone voting, however it can be taken a lot further, Neibanck said. For one thing, not only can holders vote electronically, they can receive the proxy materials (and annual report) electronically.

06751711/9

DIALOG(R)File 16:Gale Group PROMT(R)  
(c) 2002 The Gale Group. All rts. reserv.

06751711 Supplier Number: 56757773 (THIS IS THE FULLTEXT)

**Call-Net Enterprises Inc. Amends Resolutions For October 26 Shareholder Meeting.**

PR Newswire, p6994

Oct 22, 1999

Language: English Record Type: Fulltext

Document Type: Newswire; Trade

Word Count: 309

TEXT:

(TSE, ME: CN, CN.B: NASDAQ: CNEBF)

TORONTO, Oct. 22 /CNW-PRN/ - Call-Net Enterprises Inc. announced today that the amended resolutions originally proposed to be voted upon at the adjourned shareholder meeting on October 26, 1999 are to be amended.

The first amended resolution is to remove Mr. Juri Koor as a director of Call-Net Enterprises, in accordance with section 109(1) of the Canada Business Corporations Act. If this resolution is passed, shareholders will be asked to consider a second amended resolution to fill the vacancy created by the removal of Mr. Koor by the election of Mr. Eric Rosenfeld of Crescendo Partners, L.P., who will hold office until the close of the first annual meeting of shareholders following his election.

The original resolutions proposed by Crescendo and reflected in the Management Proxy Circular dated September 14, 1999 to: (i) remove six members of the Board of Directors; and (ii) to replace such Directors with nominees of Crescendo have been replaced by the above resolutions.

Notice of the revised resolutions will be given through publication in certain newspapers.

All valid proxies received to date will be voted in accordance with the shareholder's original instructions save that a vote in favour of the original resolutions will be deemed to be a vote in favour of the revised resolutions and a vote against the original resolutions will be deemed to be a vote against the revised resolutions. Common shareholders who have submitted a proxy form authorizing any person to vote their shares may revoke such authority by contacting the Company's transfer agent, CIBC Mellon Trust Company.

The Common Shares and Class B Non-Voting shares of Call-Net Enterprises Inc. trade on the Toronto and Montreal stock exchanges under the symbols CN and CN.B respectively. The Class B Non-Voting shares also trade on the Nasdaq stock market under the symbol CNEBF.

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PUBLISHER NAME: PR Newswire Association, Inc.

COMPANY NAMES: \*Call-Net Enterprises Inc.; Crescendo Partners L.P.

GEOGRAPHIC NAMES: \*1CANA (Canada)

PRODUCT NAMES: \*4810000 (Telecommunication Services ex Broadcast)

INDUSTRY NAMES: BUS (Business, General); BUSN (Any type of business)

SIC CODES: 4810 (Telephone Communication)

NAICS CODES: 5133 (Telecommunications)

SPECIAL FEATURES: INDUSTRY; COMPANY

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00847423/9

DIALOG(R)File 349:PCT FULLTEXT  
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00847423

**A SYSTEM AND METHOD FOR ONLINE DELIVERY OF INVESTOR DOCUMENTS AND  
TABULATION AND PROCESSING CERTAIN INVESTOR INSTRUCTIONS  
SYSTEME ET PROCEDE DE DISTRIBUTION EN LIGNE DE DOCUMENTS D'INVESTISSEURS,  
DE TABULATION ET DE TRAITEMENT DE CERTAINES INSTRUCTIONS  
D'INVESTISSEURS**

Patent Applicant/Assignee:

MEDIANT COMMUNICATIONS INC, 14 Wall Street, Suite 1210, New York, NY  
10005, US, US (Residence), US (Nationality)

Inventor(s):

PURCELL John, 89 Mansfield Avenue, Darien, CT 06820, US,

Legal Representative:

BOSWELL Mary Jane (agent), Morgan, Lewis & Bockius LLP, 1800 M Street,  
N.W., Washington, DC 20036-5869, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200180132 A2 20011025 (WO 0180132)

Application: WO 2001US12266 20010416 (PCT/WO US0112266)

Priority Application: US 2000197602 20000418; US 2001760745 20010117

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ

DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ

LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG

SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: G06F-017/60

Publication Language: English

Filing Language: English

Fulltext Word Count: 7356

English Abstract

French Abstract

Legal Status (Type, Date, Text)

Publication 20011025 A2 With declaration under Article 17(2)(a); without  
abstract; title not checked by the International  
Searching Authority.

Detailed Description

A System and Method for,Online Defivery of Investor Documents and  
Tabulation

and Processing Certain Investor Instructions

Inventor: John Purcell

FIELD OF TRE INVENTION

The present invention relates to a system and method for delivering  
public companies' disclosure materials online and tabulating and  
processing certain investor instractions relating thereto, and  
particularly, for distributing such materials online to shareholders who  
previously availed themselves of online contact.

BACKGROUND OF THE INVENTION

Advances in computer processing power and network communications have  
made infonnation from a wide variety of sources available to users on  
computer networks. Computer networking allows network computer users to  
share infonnation, software applications and hardware devices and  
internetworking enables a set of physical networks to be connected into a  
single network such as the Intemet. Today, computers connected to the  
Internet have almost instant access to infonnation stored in relatively  
distant regions. Morcover, computers connected to networks other than the  
Intemet also have access to infonnation stored on those networks. The

00522038/9

DIALOG(R) File 349:PCT FULLTEXT  
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00522038      \*\*Image available\*\*

**METHODS AND APPARATUS FOR GAUGING GROUP CHOICES**  
**PROCEDES ET DISPOSITIF D'EVALUATION DE CHOIX COLLECTIFS**

Patent Applicant/Assignee:

CHOICE LOGIC CORPORATION,  
URKEN Arnold B,  
FAGERSTROM Dana,

Inventor(s):

URKEN Arnold B,  
FAGERSTROM Dana,

Patent and Priority Information (Country, Number, Date):

Patent: WO 9953390 A2 19991021

Application: WO 99US8417 19990416 (PCT/WO US9908417)

Priority Application: US 9882047 19980416

Designated States: AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES  
FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU  
LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA  
UG US UZ VN YU ZW GH GM KE LS MW SD SL SZ UG ZW AM AZ BY KG KZ MD RU TJ  
TM AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE BF BJ CF CG CI  
CM GA GN GW ML MR NE SN TD TG

Main International Patent Class: G06F-017/60

Publication Language: English

Fulltext Word Count: 25929

**English Abstract**

Methods and apparatus for a choice processor (Fig. 1) that gauges group choice in a computer-mediated environment. The system uses scientific analysis of collective choice processes and outcomes produced by different voting methods (Fig. 3) to provide result data to guide an individual or group in making decisions synchronously or asynchronously.

**French Abstract**

La presente invention concerne des procedes et un appareil s'appliquant a un processeur de choix qui evalue un choix collectif dans un environnement informatise. Le systeme utilise l'analyse scientifique des processus de choix collectifs et les resultats produits selon differents procedes de vote pour fournir des donnees de resultat devant guider un individu ou un groupe pour la prise de decision synchrone ou asynchrone. On obtient trois formes de donnees de resultat instantane. Pour la premiere forme, le systeme utilise des boites de dialogue utilisateur distinctives pour communiquer une description scientifique des conditions initiales du choix collectif en cours de lancement par un individu ou un groupe. Cette information subit un traitement visant a selectionner au moins un systeme de vote facilitant la realisation d'objectifs au niveau de l'organisation ou de l'individu. Pour la deuxieme forme, le systeme utilise une serie de nouveaux procedes de traitement des donnees visant a determiner les resultats de choix collectifs a travers tout un processus de choix collectif visant a identifier des differences et a communiquer aux initiateurs et aux participants les donnees de resultat produites par le systeme afin d'atteindre l'un au moins des objectifs definis. Et pour la troisieme forme, on utilise des procedes d'intelligence artificielle mettant en oeuvre de nouvelles regles pour fournir a l'utilisateur des analyses quantitatives et verbales indiquant comment ponderer les votes et comment interpreter un consensus ne constituant pas une information parfaite concernant les preferences et jugements du votant.

**Detailed Description**

METHODS AND APPARATUS FOR GAUGING GROUP CHOICES

Field of the Invention

The present invention is directed to processing group choices in a computer-mediated environment.

Discussion of the Prior Art

Recently, computer programs have been developed to allow computer



1/9/1  
DIALOG(R)File 345:Inpadoc/Fam.& Legal Stat  
(c) 2003 EPO. All rts. reserv.

15414376  
Basic Patent (No,Kind,Date): CA 2323425 AA 19990916 <No. of Patents: 013>

PATENT FAMILY:

AUSTRALIA (AU)

Patent (No,Kind,Date): AU 9928994 A1 19990927  
METHOD AND APPARATUS FOR ENABLING INDIVIDUAL OR SMALLER INVESTORS OR  
OTHERS TO CREATE AND MANAGE A PORTOFOLIO OF SECURITIES OR OTHER  
ASSETS OR LIABILITIES ON A COST EFFECTIVE BASIS (English)  
Patent Assignee: FOLIO TRADE LLC  
Author (Inventor): WALLMAN STEVEN M H  
Priority (No,Kind,Date): US 38158 A 19980311; US 139020 A  
19980824; WO 99US5010 W 19990305  
Applic (No,Kind,Date): AU 9928994 A 19990305  
Derwent WPI Acc No: \* G 99-561715  
Language of Document: English

BRAZIL (BR)

Patent (No,Kind,Date): BR 9908683 A 20011016  
SISTEMA, METODO E APARELHO PARA PERMITIR QUE INVESTIDORES INDIVIDUAIS  
OU MENORES OU OUTROS, CRIEM E CONTROLEM UMA CARTEIRA DE TITULOS DE  
CREDITO OU OUTROS BENS OU OBRIGACOES EM UMA BASE EFICAZ EM TERMOS DE  
CUSTO (Portugese)  
Patent Assignee: FOLIO FN INC (US)  
Author (Inventor): WALLMAN STEVEN M H  
Priority (No,Kind,Date): US 38158 A 19980311; US 139020 A  
19980824; WO 99US5010 W 19990305  
Applic (No,Kind,Date): BR 99U8683 A 19990305  
IPC: \* G06F-017/60  
Derwent WPI Acc No: \* G 99-561715  
Language of Document: Portugese

CANADA (CA)

Patent (No,Kind,Date): CA 2323425 AA 19990916  
METHOD AND APPARATUS FOR CREATION AND MANAGEMENT OF A PORTFOLIO OF  
SECURITIES (English; French)  
Patent Assignee: FOLIO FN INC (US)  
Author (Inventor): WALLMAN STEVEN M H (US)  
Priority (No,Kind,Date): US 38158 A 19980311; US 139020 A  
19980824; WO 99US5010 W 19990305  
Applic (No,Kind,Date): CA 2323425 A 19990305  
IPC: \* G06F-017/60  
Derwent WPI Acc No: \* G 99-561715  
Language of Document: English

CANADA (CA)

Legal Status (No,Type,Date,Code,Text):  
CA 2323425 P 20000911 CA REFW CORRESPONDS TO PCT  
APPLICATION (ENTSPRICHT PCT ANMELDUNG)  
WO 9946658 P

TAIWAN (TW)

Patent (No,Kind,Date): TW 466427 B 20011201  
Patent Assignee: FOLIO TRADE LLC (US)  
Author (Inventor): WALLMAN STEVEN M H (US)  
Priority (No,Kind,Date): US 38158 A 19980311; US 139020 A  
19980824  
Applic (No,Kind,Date): TW 88103715 A 19990311  
IPC: \* G06F-017/60  
Derwent WPI Acc No: \* G 99-561715

## CHINA (CN)

Patent (No,Kind,Date): CN 1316077 T 20011003  
 SMALLER INVESTORS CAN CREATE AND MANAGE ON COST-EFFECTIVE BASIS,  
 COMPLEX PORTFOLIO OF SECURITIES OR OTHER PROPERTIES (English)  
 Patent Assignee: FOLIO TRADE LLC (US)  
 Author (Inventor): WALLMAN S M H (US)  
 Priority (No,Kind,Date): US 38158 A 19980311; US 139020 A  
 19980824  
 Applic (No,Kind,Date): CN 99806108 A 19990305  
 IPC: \* G06F-017/60  
 Derwent WPI Acc No: \* G 99-561715  
 Language of Document: Chinese

## EGYPT (EG)

Patent (No,Kind,Date): EG 21952 A 20020430  
 METHOD AND APPARATUS FOR ANABLING INDIVIDUAL OR SMALLER INVESTORS OR  
 OTHERS TO CREATE AND MANAGE A PORTFOLIO SECURITIES OR OTHER ASSETS OR  
 LIABILITIES ONA CAST EFFECT BASIS (English)  
 Patent Assignee: FILO TRADE LLC  
 Author (Inventor): WALMEN STEVEN M  
 Priority (No,Kind,Date): US 38158 A 19980311; US 139020 A  
 19980824  
 Applic (No,Kind,Date): EG 99245 A 19990311  
 IPC: \* G06F-015/00; G06F-007/00  
 Derwent WPI Acc No: \* G 99-561715  
 Language of Document: Arabic

## EUROPEAN PATENT OFFICE (EP)

Patent (No,Kind,Date): EP 1062557 A2 20001227  
 METHOD AND APPARATUS FOR ENABLING INDIVIDUAL OR SMALLER INVESTORS OR  
 OTHERS TO CREATE AND MANAGE A PORTOFOLIO OF SECURITIES OR OTHER  
 ASSETS OR LIABILITIES ON A COST EFFECTIVE BASIS (English; French;  
 German)  
 Patent Assignee: FOLIO FN INC (US)  
 Author (Inventor): WALLMAN STEVEN M H (US)  
 Priority (No,Kind,Date): WO 99US5010 W 19990305; US 38158 A  
 19980311; US 139020 A 19980824  
 Applic (No,Kind,Date): EP 99909899 A 19990305  
 Designated States: (National) AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;  
 GR; IE; IT; LI; LU; MC; NL; PT; SE  
 IPC: \* G06F-001/00  
 Derwent WPI Acc No: \* G 99-561715  
 Language of Document: English

## EUROPEAN PATENT OFFICE (EP)

Legal Status (No,Type,Date,Code,Text):

EP 1062557	P	19980311	EP AA	PRIORITY (PATENT APPLICATION)	(PRIORITAET (PATENTANMELDUNG))
		US 38158 A	19980311		
EP 1062557	P	19980824	EP AA	PRIORITY (PATENT APPLICATION)	(PRIORITAET (PATENTANMELDUNG))
		US 139020 A	19980824		
EP 1062557	P	19990305	EP AA	PCT-APPLICATION (PCT-ANMELDUNG)	
		WO 99US5010 W	19990305		
EP 1062557	P	19990305	EP AE	EP-APPLICATION (EUROPAEISCHE ANMELDUNG)	
		EP 99909899 A	19990305		
EP 1062557	P	20001227	EP AK	DESIGNATED CONTRACTING STATES IN AN APPLICATION WITHOUT SEARCH	

REPORT: (IN EINER ANMELDUNG OHNE  
RECHERCHENBERICHT BENANNTE VERTRAGSSTAATEN)

AT BE CH CY DE DK ES FI FR GB GR IE IT LI LU  
MC NL PT SE

EP 1062557 P 20001227 EP AX EXTENSION OF THE EUROPEAN  
PATENT TO (ERSTRECKUNG DES EUROPÄISCHEN  
PATENTS AUF)  
AL PAYMENT 20000928;LT PAYMENT 20000928;LV  
PAYMENT 20000928;MK PAYMENT 20000928;RO  
PAYMENT 20000928;SI PAYMENT 20000928

EP 1062557 P 20001227 EP A2 PUBLICATION OF APPLICATION  
WITHOUT SEARCH REPORT (VERÖFFENTLICHUNG DER  
ANMELDUNG OHNE RECHERCHENBERICHT)

EP 1062557 P 20001227 EP 17P REQUEST FOR EXAMINATION  
FILED (PRUEFUNGSANTRAG GESTELLT)  
20000928

EP 1062557 P 20010131 EP RAP1 APPLICANT REASSIGNMENT  
(CORRECTION) (ANMELDER UEBERTRAGUNG (KORR.))

FOLIOFN, INC.

ISRAEL (IL)

Patent (No,Kind,Date): IL 138388 A0 20011031  
METHOD AND APPARATUS FOR CREATION AND MANAGEMENT OF A PORTFOLIO OF  
SECURITIES (English)  
Patent Assignee: FOLIO FN INC  
Priority (No,Kind,Date): US 38158 A 19980311; US 139020 A  
19980824; WO 99US5010 W 19990305  
Applic (No,Kind,Date): IL 138388 A 19990305  
IPC: \* G06F  
Derwent WPI Acc No: \* G 99-561715  
Language of Document: English

JAPAN (JP)

Patent (No,Kind,Date): JP 2002507015 T2 20020305  
Priority (No,Kind,Date): US 38158 A 19980311; US 139020 A  
19980824; WO 99US5010 W 19990305  
Applic (No,Kind,Date): JP 2000535978 A 19990305  
IPC: \* G06F-017/60  
Derwent WPI Acc No: \* G 99-561715  
Language of Document: Japanese

UNITED STATES OF AMERICA (US)

Patent (No,Kind,Date): US 6601044 BA 20030729  
Method and apparatus for enabling individual or smaller investors or  
others to create and manage a portfolio of securities or other assets  
or liabilities on a cost effective basis (English)  
Patent Assignee: FOLIOFN INC (US)  
Author (Inventor): WALLMAN STEVEN M H (US)  
Priority (No,Kind,Date): US 139020 A 19980824; US 38158 A2  
19980311  
Applic (No,Kind,Date): US 139020 A 19980824  
National Class: \* 705036000; 705035000; 705037000  
IPC: \* G06F-017/60  
Language of Document: English

UNITED STATES OF AMERICA (US)

Legal Status (No,Type,Date,Code,Text):  
US 6601044 P 19980311 US AA PRIORITY (CONTINUATION IN  
PART)  
US 38158 A2 19980311  
US 6601044 P 19980824 US AE APPLICATION DATA (PATENT)  
(APPL. DATA (PATENT))

US 139020 A 19980824  
US 6601044 P 20030729 US BA PATENT (NO PREVIOUS  
PRE-GRANT PUBLICATION)

WORLD INTELLECTUAL PROPERTY ORGANIZATION, PCT (WO)

Patent (No,Kind,Date): WO 9946658 A2 19990916

METHOD AND APPARATUS FOR ENABLING INDIVIDUAL OR SMALLER INVESTORS OR  
OTHERS TO CREATE AND MANAGE A PORTFOLIO OF SECURITIES OR OTHER  
ASSETS OR LIABILITIES ON A COST EFFECTIVE BASIS (English)

Patent Assignee: FOLIO TRADE LLC (US)

Author (Inventor): WALLMAN STEVEN M H

Priority (No,Kind,Date): US 38158 A 19980311; US 139020 A  
19980824

Applic (No,Kind,Date): WO 99US5010 A 19990305

Designated States: (National) AL; AM; AT; AU; AZ; BA; BB; BG; BR; BY;  
CA; CH; CN; CU; CZ; DE; DK; EE; ES; FI; GB; GD; GE; GH; GM; HR; HU;  
ID; IL; IN; IS; JP; KE; KG; KP; KR; KZ; LC; LK; LR; LS; LT; LU; LV;  
MD; MG; MK; MN; MW; MX; NO; NZ; PL; PT; RO; RU; SD; SE; SG; SI; SK;  
SL; TJ; TM; TR; TT; UA; UG; UZ; VN; YU; ZW (Regional) GH; GM; KE;  
LS; MW; SD; SL; SZ; UG; ZW; AM; AZ; BY; KG; KZ; MD; RU; TJ; TM; AT;  
BE; CH; CY; DE; DK; ES; FI; FR; GB; GR; IE; IT; LU; MC; NL; PT; SE;  
BF; BJ; CF; CG; CI; CM; GA; GN; GW; ML; MR; NE; SN; TD; TG

Filing Details: WO 300000 Without international search report and to  
be republished upon receipt of that report

IPC: \* G06F

Derwent WPI Acc No: ; G 99-561715

Language of Document: English

Patent (No,Kind,Date): WO 9946658 A3 20000203

METHOD AND APPARATUS FOR CREATION AND MANAGEMENT OF A PORTFOLIO OF  
SECURITIES (English)

Patent Assignee: FOLIO TRADE LLC (US)

Author (Inventor): WALLMAN STEVEN M H

Priority (No,Kind,Date): US 38158 A 19980311; US 139020 A  
19980824

Applic (No,Kind,Date): WO 99US5010 A 19990305

Designated States: (National) AL; AM; AT; AU; AZ; BA; BB; BG; BR; BY;  
CA; CH; CN; CU; CZ; DE; DK; EE; ES; FI; GB; GD; GE; GH; GM; HR; HU;  
ID; IL; IN; IS; JP; KE; KG; KP; KR; KZ; LC; LK; LR; LS; LT; LU; LV;  
MD; MG; MK; MN; MW; MX; NO; NZ; PL; PT; RO; RU; SD; SE; SG; SI; SK;  
SL; TJ; TM; TR; TT; UA; UG; UZ; VN; YU; ZW (Regional) GH; GM; KE;  
LS; MW; SD; SL; SZ; UG; ZW; AM; AZ; BY; KG; KZ; MD; RU; TJ; TM; AT;  
BE; CH; CY; DE; DK; ES; FI; FR; GB; GR; IE; IT; LU; MC; NL; PT; SE;  
BF; BJ; CF; CG; CI; CM; GA; GN; GW; ML; MR; NE; SN; TD; TG

Filing Details: WO 130000 With international search report; Before  
expiration of time limit for amending the claims and to be  
republished in the event of the receipt of the amendments

IPC: \* G06F-017/60

Derwent WPI Acc No: \* G 99-561715

Language of Document: English

WORLD INTELLECTUAL PROPERTY ORGANIZATION, PCT (WO)

Legal Status (No,Type,Date,Code,Text):

WO 9946658 P 19980311 WO AA PRIORITY (PATENT)

US 38158 A 19980311

WO 9946658 P 19980824 WO AA PRIORITY (PATENT)

US 139020 A 19980824

WO 9946658 P 19990305 WO AE APPLICATION DATA (APPL.  
DATA)

WO 99US5010 A 19990305

WO 9946658 P 19990916 WO AK DESIGNATED STATES CITED IN A  
PUBLISHED APPLICATION WITHOUT SEARCH REPORT  
(DESIGNATED STATES CITED IN A PUBLISHED APPL.  
WITHOUT SEARCH REPORT)

AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ

DE DK EE ES FI GB GD GE GH GM HR HU ID IL IN  
 IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD  
 MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI  
 SK SL TJ TM TR TT UA UG UZ VN YU ZW

WO 9946658 P 19990916 WO AL DESIGNATED COUNTRIES FOR  
 REGIONAL PATENTS CITED IN A PUBLISHED  
 APPLICATION WITHOUT SEARCH REPORT  
 (DESIGNATED COUNTRIES FOR REGIONAL PATENTS  
 CITED IN A PUBLISHED APPL. WITHOUT SEARCH  
 REPORT)  
 GH GM KE LS MW SD SL SZ UG ZW AM AZ BY KG KZ  
 MD RU TJ TM AT BE CH CY DE DK ES FI FR GB GR  
 IE IT LU MC NL PT SE BF BJ CF CG CI CM GA GN  
 GW ML MR NE SN TD TG

WO 9946658 P 19990916 WO A2 PUBLICATION OF THE  
 INTERNATIONAL APPLICATION WITHOUT THE  
 INTERNATIONAL SEARCH REPORT (PUB. OF THE  
 INTERNATIONAL APPL. WITHOUT THE INTERNATIONAL  
 SEARCH REPORT)

WO 9946658 P 19991124 WO 121 EP: PCT APP. ART. 158 (1)  
 (EP: PCT ANM. ART. 158 (1))

WO 9946658 P 20000203 WO AK DESIGNATED STATES CITED IN A  
 SUBSEQUENTLY PUBLISHED SEARCH REPORT  
 AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ  
 DE DK EE ES FI GB GD GE GH GM HR HU ID IL IN  
 IS JP KE KG KP KR KZ LCLK LR LS LT LU LV MD  
 MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI  
 SK SL TJ TM TR TT UA UG UZ VN YU ZW

WO 9946658 P 20000203 WO AL DESIGNATED COUNTRIES FOR  
 REGIONAL PATENTS CITED IN A SUBSEQUENTLY  
 PUBLISHED SEARCH REPORT  
 GH GM KE LS MW SD SL SZ UG ZW AM AZ BY KG KZ  
 MD RU TJ TM AT BE CH CY DE DK ES FI FR GB GR  
 IE IT LU MC NL PT SE BF BJ CF CG CI CM GA GN  
 GW ML MR NE SN TD TG

WO 9946658 P 20000203 WO A3 SUBSEQUENT PUBLICATION OF  
 THE INTERNATIONAL SEARCH REPORT (SUBSEQUENT  
 PUB. OF THE INTERNATIONAL SEARCH REPORT)

WO 9946658 P 20000316 WO DFPE REQUEST FOR PRELIMINARY  
 EXAMINATION FILED PRIOR TO EXPIRATION OF 19TH  
 MONTH FROM PRIORITY DATE

WO 9946658 P 20000908 WO ENP ENTRY INTO THE NATIONAL  
 PHASE IN:  
 KR 2000710032 A

WO 9946658 P 20000908 WO ENP ENTRY INTO THE NATIONAL  
 PHASE IN:  
 KR 2000710033 A

WO 9946658 P 20000911 WO ENP ENTRY INTO THE NATIONAL  
 PHASE IN:  
 CA 2323425 AA

WO 9946658 P 20000911 WO ENP ENTRY INTO THE NATIONAL  
 PHASE IN:  
 JP 535978 A

WO 9946658 P 20010111 DE 8642/REG IMPACT ABOLISHED FOR DE  
 (WIRKUNG WEGGEFALLEN FUER DE)

# SOUTH AFRICA (ZA)

Patent (No,Kind,Date): ZA 9901954 A 20001011

METHOD AND APPARATUS FOR ENABLING INDIVIDUAL OR SMALLER INVESTORS OR  
 OTHERS TO CREATE AND MANAGE A PORTFOLIO OF SECURITIES OR OTHER ASSETS  
 OR LIABILITIES ON A COST EFFECTIVE BASIS. (English)

Patent Assignee: FOLIO TRADE LLC

Author (Inventor): WALLMAN STEVEN M H

Priority (No,Kind,Date): US 38158 A 19980311

Applic (No,Kind,Date): ZA 991954 A 19990310  
IPC: \* G06F  
Derwent WPI Acc No: \* G 99-561715  
Language of Document: English

2/3,K/3 (Item 1 from file: 348)  
DIALOG(R) File 348:EUROPEAN PATENTS  
(c) 2003 European Patent Office. All rts. reserv.

01092444

METHOD AND APPARATUS FOR ENABLING INDIVIDUAL OR SMALLER INVESTORS OR OTHERS  
TO CREATE AND MANAGE A PORTOFOLIO OF SECURITIES OR OTHER ASSETS OR  
LIABILITIES ON A COST EFFECTIVE BASIS

VERFAHREN UND GERAT WELCHES INDIVIDUEN ODER KLEINANLEGER ODER ANDERE IN DIE  
LAGE VERSETZT EIN ANLAGEPAKET ZU SCHAFFEN WELCHES AUS RENTENPAPIEREN  
ODER ANDEREN ANLAGEOBJEKTEN BESTEHTUND DIESES KOSTENEFFEKTIV ZU MANAGEN  
PROCEDE ET APPAREIL PERMETTANT A DES PARTICULIERS, DES PETITS INVESTISSEURS  
OU AUTRES DE CREER ET GERER UN PORTEFEUILLE DE TITRES OU AUTRES SUR UNE  
BASE EFFICACE EN TERMES DE COUT

PATENT ASSIGNEE:

\*Folio\* (\*FN\*), Inc., (2853731), 2nd Floor, 8401 Old Court House Road,  
Vienna, VA 22182, (US), (Applicant designated States: all

INVENTOR:

WALLMAN, Steven, M., H., 9332 Ramey Lane, Great Falls, VA 22066-2025,  
(US)

LEGAL REPRESENTATIVE:

Altenburg, Udo, Dipl.-Phys. et al (1269), Patent- und Rechtsanwälte  
Bardehle . Pagenberg . Dost . Altenburg . Geissler . Isenbruck Postfach  
86 06 20, 81633 Munchen, (DE)

PATENT (CC, No, Kind, Date): EP 1062557 A2 001227 (Basic)  
WO 9946658 990916

APPLICATION (CC, No, Date): EP 99909899 990305; WO 99US5010 990305

PRIORITY (CC, No, Date): US 38158 980311; US 139020 980824

DESIGNATED STATES: AT; BE; CH; CY; DE; DK; ES; FI; FR; GB; GR; IE; IT; LI;  
LU; MC; NL; PT; SE

EXTENDED DESIGNATED STATES: AL; LT; LV; MK; RO; SI

INTERNATIONAL PATENT CLASS: G06F-001/00

NOTE:

No A-document published by EPO

LANGUAGE (Publication,Procedural,Application): English; English; English

PATENT ASSIGNEE:

\*Folio\* (\*FN\*), Inc...

LEGAL STATUS (Type, Pub Date, Kind, Text):

...\*Foliofn\*, Inc. (3186290) 2nd Floor, 8401 Old Court House Road Vienna,  
VA 22182 US

Examination

?

2/3,K/2 (Item 1 from file: 345)  
DIALOG(R)File 345:Inpadoc/Fam.& Legal Stat  
(c) 2003 EPO. All rts. reserv.

15414376

Basic Patent (No,Kind,Date): CA 2323425 AA 19990916 <No. of Patents: 013>

METHOD AND APPARATUS FOR CREATION AND MANAGEMENT OF A PORTFOLIO OF  
SECURITIES (English; French)

Patent Assignee: FOLIO FN INC (US)

Author (Inventor): WALLMAN STEVEN M H (US)

IPC: \*G06F-017/60;

Derwent WPI Acc No: \*G 99-561715;

Language of Document: English

Patent Family:

Patent No	Kind	Date	Applic No	Kind	Date	
AU 9928994	A1	19990927	AU 9928994	A	19990305	
BR 9908683	A	20011016	BR 9908683	A	19990305	
CA 2323425	AA	19990916	CA 2323425	A	19990305	(BASIC)
CN 1316077	T	20011003	CN 99806108	A	19990305	
EG 21952	A	20020430	EG 99245	A	19990311	
EP 1062557	A2	20001227	EP 99909899	A	19990305	
IL 138388	A0	20011031	IL 138388	A	19990305	
JP 2002507015	T2	20020305	JP 2000535978	A	19990305	
US 6601044	BA	20030729	US 139020	A	19980824	
WO 9946658	A2	19990916	WO 99US5010	A	19990305	
WO 9946658	A3	20000203	WO 99US5010	A	19990305	
ZA 9901954	A	20001011	ZA 991954	A	19990310	
TW 466427	B	20011201	TW 88103715	A	19990311	

Priority Data (No,Kind,Date):

US 38158 A 19980311  
US 139020 A 19980824  
WO 99US5010 W 19990305  
US 38158 A2 19980311

Dialog File: Inpadoc/Fam.& Legal Stat\_1968-2003/UD=200342



2/3,K/19 (Item 1 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2003 WIPO/Univentio. All rts. reserv.

00515306 \*\*Image available\*\*

METHOD AND APPARATUS FOR ENABLING INDIVIDUAL OR SMALLER INVESTORS OR OTHERS  
TO CREATE AND MANAGE A PORTOFOLIO OF SECURITIES OR OTHER ASSETS OR  
LIABILITIES ON A COST EFFECTIVE BASIS

PROCEDE ET APPAREIL PERMETTANT A DES PARTICULIERS, DES PETITS INVESTISSEURS  
OU AUTRES DE CREER ET GERER UN PORTEFEUILLE DE TITRES OU AUTRES SUR UNE  
BASE EFFICACE EN TERMES DE COUT

Patent Applicant/Assignee:

FOLIO TRADE LLC,

Inventor(s):

WALLMAN Steven M H,

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Detailed Description

Claims

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Detailed Description

... investor of the system might then be able to pose a question  
concerning a particular \*affinity\* group, for example patent attorneys or  
economists. The investor might then be interested in what securities are  
being invested in by patent lawyers or economists.

Once an \*affinity\* group is identified, the system can gather statistics  
for the investor noting, again hypothetically, that a more specific  
\*affinity\* group, the investor might query the system of the present  
invention to provide all of...

...securities listing for all actors who live in California could also be  
created.

Once these \*affinity\* group investment characteristics and strategies are  
created, an investor can have the option of investing...

...such as high tech, or individual securities or otherwise) as is listed  
for a particular \*affinity\* group. Thus \*affinity\* group investing can be  
supported by the system of the present invention.

This again provides...

...the present invention is to assess the relative perfon-nance of the  
portfolio of each \*affinity\* group. Since the securities either as groups  
(e.g., utilities) or individual stocks (e.g...computerI 0 based system  
according to the present invention.

FIG 16 depicts the compilation of \*affinity\* and collaborative filtering

techniques used in conjunction with and as they relate to the computer... further modified by the investor, or portfolios reflecting the portfolios or portfolio characteristics of specified \*affinity\* groups or other selected investors.

4. Enables reduced transactions costs by accepting customer orders entered...analyzes the securities in the portfolio. The investor is permitted to direct that the \*voting\* be \*delegated\* to such service (or other services if multiple services are made available).

8. Permits the...a number of other portfolio creating starting points, such as pre-packaged portfolios, celebrity portfolios, \*affinity\* group portfolios, or portfolios suggested or recommended by the system based on the investor's...magazines or newsletters or other sources, or portfolios reflecting screened risk - return characteristics from various \*affinity\* groups that can be created by the investor, such as the portfolio characteristics of managers...

...the screening selection criteria based on I O book value, etc. pre-packaged portfolios, etc. \*affinity\* portfolios, etc. all as modified by the investor. Other variations are possible, and they can...all of the sophistication of the present invention.

Referring to FIG 16 the concept of \*affinity\* group investing is shown. The 1 5 present invention first collects investor demographic information from...

...the investments made by particular groups of investors.

When an investor desires to enter an \*affinity\* group or to see screens based on group or investor characteristics or do collaborative investing, the investor accesses, via a PC or from a server a series of \*affinity\* group selection criteria 166. Such criteria might be profession, annual family earnings, education level, geographic area, and other demographic characteristics. The criteria selected to create a particular \*affinity\* group, is then presented to the investor database 167 ). The \*affinity\* group characteristics are retrieved from the generalized demographic database 162 and associated ...the i sted) a securities and/or portfolio profile 167

investor request of the particular \*affinity\* group. This securities/portfolio profile can then be output 168 to the investor. Alternatively, the...

...be presented to the investor showing how the securities invested in 0 by the particular \*affinity\* group actually performed, and can also be presented to the system for execution or inclusion...

...selected  
5 actually performed.)

In this manner an investor can be quite specific about an \*affinity\* group that the investor wishes to create and identify the performance of securities and portfolios invested in by that particular group.

In a similar fashion to the \*affinity\* investing in individual securities as part of or separate from a portfolio as described above the present invention allows for \*affinity\* investing with respect to mutual funds or other instruments as well. In this instance, the...

...has  
invested in as a basis for making future investment Again not only can such \*affinity\* group mutual fund investing be determined from the investor database, but the performance of the \*affinity\* group's investment can also be determined.

Additionally, if a group of investors so desire...interest in a fund, the investor has the right to vote

the underlying stocks (or \*delegate\* the \*voting\* in accordance with various instructions), and sell individual stocks when he wishes.

\* The computer-based...

Claim

... risk and 5 differential return.

38 The system according to claim 1, further comprising an \*affinity\* group

2) creation process creating an \*affinity\* group comprising individuals having similar characteristics, the characteristics being selectable by the investor, said \*affinity\* group creation process determining what securities have been purchased by the \*affinity\* 5 group, and executing a purchase of the securities that have been purchased by the 6 \*affinity\* group on behalf of the investor selecting the characteristics.

39 The system according to claim...

...an historical performance output for the investor concerning the performance of the securities of the \*affinity\* group.

41 The system according to claim-@), further comprising a speech process

1

2 processing voice input from the individual or smaller...historical performance output for the investor 3 concerning the performance of the securities of the \*affinity\* group.

45 A personal computer based program for executing on an investor@s  
2 personal...investor.

63 The personal computer based program according to claim 45, further comprising an \*affinity\* group creation process creating an \*affinity\* group comprising a 3 plurality of individuals having similar characteristics, the characteristics being 4 selectable by the investor, said \*affinity\* group creation process determining what 5 securities have been purchased by the \*affinity\* group, and executing a purchase of the 6 securities that have been purchased by the \*affinity\* group.

64 A method for creating and managing a portfolio of assets or liabilities by...investors.

72 The method according to claim 64, further comprising the steps of creating an \*affinity\* group comprising individuals having similar characteristics, the characteristics being selectable by an investor; determining what assets or liabilities have been transacted by the \*affinity\* 5 group; and executing similar transactions in the assets or liabilities as have been 7 transacted by the \*affinity\* group. 7' ). The method according to claim 72, wherein the step of determining what...

...output for the investor concerning the 3 performance of the assets or liabilities of the \*affinity\* group.

75 The method according to claim 64, further comprising the step of 2 displaying...the third party trading system.

82 The apparatus according to claim 79, further comprising an \*affinity\* group creation process creating an \*affinity\* group comprising individuals having similar characteristics, the characteristics being selectable by the investor, said \*affinity\* group creation process further determining what securities have been purchased by the

t@

5 \*affinity\* group, and executing a purchase of the securities that have been purchased by 6 the \*affinity\* group.

83 The apparatus according to claim 82, further comprising a statistical 2 sampling process...rights, global warming rights, and 7 insurance claim interests. I I 00. A method for \*affinity\* investing comprising the steps of.

creating an \*affinity\* group comprising individuals having similar characteristics, the characteristics beina selectable by the investor; determining what securities or portfolios have been purchased by the \*affinity\*

5 group; and

executing a purchase of. (1) a plurality of securities that have been purchased 7 by the \*affinity\* group, or (ii) a plurality of securities that reflect the risk/return 8 characteristics of the portfolios of securities purchased by the \*affinity\* group. I IO 1. The method for \*affinity\* investing according to claim I 00, wherein the 2 step of determining what securities or portfolios have been purchased by the \*affinity\* group further comprises the steps of soliciting demographic information from a plurality of investors comprising...

...return data point for inclusion in the searchable 1 6 database.

102. The method for \*affinity\* investing according to claim IO 1, further 2 comprising the step of creating an historical perforinance output for the investor concerning the performance of. (i) the securities of the \*affinity\* group, and (ii) the 4 portfolios of each of the plurality of members of the \*affinity\* group as portfolios. I 103. A method for creating a diversified portfolio of investments using...

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ChaseMellon Unveils its \*VoteDirect\*(SM) and \*VoteDirect\* Plus(SM) Intranet  
and Internet \*Proxy\* \*Voting\* Products

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NEW YORK, Dec. 1 /PRNewswire/ -- ChaseMellon Shareholder Services, L.L.C. announced today its ground-breaking new \*VoteDirect\* intranet \*proxy\* \*voting\* and \*VoteDirect\* Plus internet \*proxy\* \*voting\* products.

The first product of its kind, \*VoteDirect\* is an on-line intranet proxy distribution and voting service which enables employee shareholders to receive proxy materials such as the annual report, proxy statement and proxy card, on-line via their internal company intranet system. Employee shareholders subsequently vote their consolidated share positions on-line, thereby eliminating the need for paper.

\*VoteDirect\* Plus is a companion on-line internet voting product that enables a company's entire registered shareholder base to receive proxies and related materials and to subsequently vote their share positions via the internet.

\*VoteDirect\* was successfully launched at Microsoft Corporation, a ChaseMellon client, in advance of its November 14th Annual Meeting of Shareholders. Utilizing \*VoteDirect\* and the on-line consolidation of all employee plans enabled Microsoft to realize significant printing and postage savings, and also delivered a meaningful increase in the participation level of employees. Votes were received from as far away as Germany, France, Australia and Saudi Arabia.

"Given the culture at Microsoft, intranet \*proxy\* \*voting\* proved to be enormously popular, and was an easy transition for our employee shareholders," said Carla Lewis, Senior Director of Investor Relations. "We are extremely pleased with the cost savings and the significant increase in our employee shareholder voting percentage as a result of using \*VoteDirect\*."

Jim Aramanda, President & CEO of ChaseMellon Shareholder Services, noted that the potential for facilitating transfer agent and brokerage services via the internet is tremendous. "ChaseMellon's on-line internet products are just a few of the examples of the company's commitment to bringing cutting edge technology to bear for its clients and their shareholders."

ChaseMellon Shareholder Services is a joint venture of The Chase Manhattan Corporation and Mellon Bank Corporation and is the largest, most experienced company devoted solely to providing shareholder and related services to small, middle market, and Fortune 500 companies.

In addition to providing core stock transfer agency services, ChaseMellon offers a wide variety of services to companies and their shareholders, such as the administration of direct purchase and dividend reinvestment plans and employee stock option and stock purchase plans, as well as corporate reorganization services, odd-lot programs, unclaimed property compliance, StockWatch, proxy solicitation and information agency services.

For additional information about \*VoteDirect\* and \*VoteDirect\* Plus, contact JeanMarie Sanders, Product Development Manager, 212-273-8030 or jsanders@chase Mellon.com.

SOURCE ChaseMellon Shareholder Services, L.L.C.

Shareholder Services, 212-273-8030, or [jsanders@chasemellon.com](mailto:jsanders@chasemellon.com)/

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ChaseMellon Takes Employee Shareholders to the Web  
Matthew Greco

Investor Relations Business

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As far as its 17,000 member employee shareholder base is concerned, Microsoft Corp. has gone paperless as of this year's annual shareholders meeting, according to its transfer agent, ChaseMellon Shareholder Services L.L.C.

And soon, employee shareholders at ChaseMellon's more than 2,300 company clients may be able to vote their proxies with the same ease and at great savings to their companies.

Although a few companies have already used or are planning to use Internet-based \*proxy\* \*voting\* (See IRB, 12/1/97), ChaseMellon's \*VoteDirect\* takes advantage of a company's Intranet capabilities to give employee shareholders access to the electronic proxy system.

\*VoteDirect\* is an online Intranet proxy distribution and voting service that allows employee shareholders to receive proxy materials such as the annual report, proxy statement and proxy card, online through their internal company Intranet system. Employee shareholders subsequently vote their consolidated share positions online, eliminating the need for paper, said JeanMarie Sanders, product development manager. The system is completely confidential for employee shareholders, Sanders said.

\*VoteDirect\* Plus, the companion online Internet voting product, allows a company's entire registered shareholder base to receive proxies and related materials and vote their shares using the Internet. ChaseMellon does not create the content, however. And Internet delivery for regular retail shareholders still requires consent solicitation.

"At some larger companies the employee shareholder base is as extensive, if not more extensive, than its registered shareholder base," said ChaseMellon sales manager Jim Balson. There are more than 14 million employee shareholders whose access or lack of access represents the last roadblock to a totally paperless process, Balson said.

He cited a recent SEC no-action letter regarding employee access through an Intranet system. As long as employees have access to the material through an Intranet system, the company does not need to get consent to deliver proxy materials to them electronically.

\*VoteDirect\* was launched at Microsoft, before its Nov. 14th annual meeting. Utilizing \*VoteDirect\* and the online consolidation of all employee plans enabled Microsoft to realize significant printing and postage savings, and also delivered a meaningful increase in the participation level of employees, Sanders said.

"Given the culture at Microsoft, Intranet \*proxy\* \*voting\* proved to be enormously popular and was an easy transition for our employee shareholders," said Microsoft's senior director of investor relations, Carla Lewis, in a statement. "We are extremely pleased with the cost savings and the significant increase in our employee shareholder voting percentage as a result of using \*VoteDirect\*."

Microsoft received votes from as far away as Germany, France, Australia and Saudi Arabia.

Companies lined up to use the product come from such diverse industries as financial services, manufacturing and construction, said Balson, but he declined to name the companies.

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